

Senate Resolution 4 - Introduced

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S.R. _____ H.R. _____

1 1 SENATE RESOLUTION NO. ____
1 2 BY COMMITTEE ON ETHICS
1 3 SUCCESSOR TO SSB 1018
1 4 A Resolution relating to the Senate Code of Ethics
1 5 governing the conduct of members of the Senate in
1 6 relation to their senatorial duties during the
1 7 Eighty-third General Assembly.
1 8 BE IT RESOLVED BY THE SENATE, That the Senate Code
1 9 of Ethics for the ~~Eighty-second~~ Eighty-third General
1 10 Assembly shall be amended to read as follows:
1 11 SENATE CODE OF ETHICS
1 12 PREAMBLE. Every legislator owes a duty to uphold
1 13 the integrity and honor of the general assembly, to
1 14 encourage respect for the law and for the general
1 15 assembly and the members thereof, and to observe the
1 16 legislative code of ethics.
1 17 In doing so, members of the senate have a duty to
1 18 conduct themselves so as to reflect credit on the
1 19 general assembly, and to inspire the confidence,
1 20 respect, and trust of the public, and to strive to
1 21 avoid both unethical and illegal conduct and the
1 22 appearance of unethical and illegal conduct.
1 23 Recognizing that service in the Iowa general
1 24 assembly is a part-time endeavor and that members of
1 25 the general assembly are honorable individuals who are
1 26 active in the affairs of their localities and
1 27 elsewhere and that it is necessary that they maintain
1 28 a livelihood and source of income apart from their
1 29 legislative compensation, the following rules are
1 30 adopted pursuant to section 68B.31, to assist the
2 1 members in the conduct of their legislative affairs.
2 2 1. ECONOMIC INTEREST OF SENATOR. Taking into
2 3 account that legislative service is part-time, a
2 4 senator shall not accept economic or investment
2 5 opportunity, under circumstances where the senator
2 6 knows, or should know, that there is a reasonable
2 7 possibility that the opportunity is being afforded the
2 8 senator with intent to influence the senator's conduct
2 9 in the performance of official duties.
2 10 2. DIVESTITURE. Where a senator learns that an
2 11 economic or investment opportunity previously accepted
2 12 was offered with the intent of influencing the
2 13 senator's conduct in the performance of official
2 14 duties, the senator shall take steps to divest that
2 15 senator of that investment or economic opportunity,
2 16 and shall report the facts of the situation to the
2 17 senate ethics committee.
2 18 3. CHARGES FOR SERVICES. A senator shall not
2 19 charge to or accept from a person, corporation,
2 20 partnership, or association known to have a
2 21 legislative interest a price, fee, compensation, or
2 22 other consideration for the sale or lease of any
2 23 property or the furnishing of services which is in
2 24 excess of that which the senator would charge another.
2 25 4. USE OF CONFIDENTIAL INFORMATION. A senator in
2 26 order to further the senator's own economic or other
2 27 interests, or those of any other person, shall not
2 28 disclose or use confidential information acquired in
2 29 the course of official duties.
2 30 5. HONORARIA. A senator shall not accept an
3 1 honorarium from a restricted donor for a speech,
3 2 writing for publication, or other similar activity,
3 3 except as otherwise provided in section 68B.23.
3 4 6. EMPLOYMENT. A senator shall not accept
3 5 employment, either directly or indirectly, from a
3 6 political action committee. A senator may accept
3 7 employment from a political party, but shall disclose
3 8 the employment relationship in writing to the
3 9 secretary of the senate within ten days after the
3 10 beginning of each legislative session. If a senator
3 11 accepts employment from a political party during a
3 12 legislative session, the senator shall disclose the

3 13 employment relationship within ten days after
3 14 acceptance of the employment.
3 15 For the purpose of this rule, a political action
3 16 committee means a committee, but not a candidate's
3 17 committee, which accepts contributions, makes
3 18 expenditures, or incurs indebtedness in the aggregate
3 19 of more than seven hundred fifty dollars in any one
3 20 calendar year to expressly advocate the nomination,
3 21 election, or defeat of a candidate for public office
3 22 or to expressly advocate the passage or defeat of a
3 23 ballot issue or influencing legislative action, or an
3 24 association, lodge, society, cooperative, union,
3 25 fraternity, sorority, educational institution, civic
3 26 organization, labor organization, religious
3 27 organization, or professional organization which makes
3 28 contributions in the aggregate of more than seven
3 29 hundred fifty dollars in any one calendar year to
3 30 expressly advocate the nomination, election, or defeat
4 1 of a candidate for public office or ballot issue or
4 2 influencing legislative action.

4 3 7. ECONOMIC INTERESTS OF LOBBYIST. With the
4 4 exception of exercising unfettered discretion in
4 5 supporting or refusing to support proposed
4 6 legislation, a senator shall not take action intended
4 7 to affect the economic interests of a lobbyist or
4 8 citizen supporting or opposing proposed legislation.

4 9 8. APPEARANCE BEFORE GOVERNMENTAL AGENCY. A
4 10 senator may appear before a governmental agency or
4 11 board in any representation case, except that the
4 12 senator shall not act as a lobbyist. Whenever a
4 13 senator appears before a governmental agency or board,
4 14 the senator shall carefully avoid all conduct which
4 15 might in any way lead members of the general public to
4 16 conclude that the senator is using the senator's
4 17 official position to further the senator's
4 18 professional success or personal financial interest.

4 19 9. CONFLICTS OF INTERESTS. In order to permit the
4 20 general assembly to function effectively, a senator
4 21 will sometimes be required to vote on bills and
4 22 participate in committee work which will affect the
4 23 senator's employment and other monetary interests. In
4 24 making a decision relative to the senator's activity
4 25 on given bills or committee work which are subject to
4 26 the code, the following factors shall be considered:

4 27 a. Whether a substantial threat to the senator's
4 28 independence of judgment has been created by the
4 29 conflict situation.

4 30 b. The effect of the senator's participation on
5 1 public confidence in the integrity of the legislature.

5 2 c. The need for the senator's particular
5 3 contribution, such as special knowledge of the subject
5 4 matter, to the effective functioning of the
5 5 legislature.

5 6 A senator with a conflict of interest may
5 7 participate in floor debate if prior to debate the
5 8 senator indicates the conflict of interest.

5 9 10. GIFTS. Except as otherwise provided in
5 10 section 68B.22, a senator, or that person's immediate
5 11 family member, shall not, directly or indirectly,
5 12 accept or receive any gift or series of gifts from a
5 13 restricted donor.

5 14 11. DISCLOSURE REQUIRED. Each senator shall file
5 15 with the secretary of the senate within ten days after
5 16 the adoption of the code of ethics by the senate, and
5 17 within ten days after the convening of the second
5 18 session of the general assembly, a statement under
5 19 section 68B.35 on forms provided by the secretary of
5 20 the senate setting forth the following information:

5 21 The nature of each business in which the senator is
5 22 engaged and the nature of the business of each company
5 23 in which the senator has a financial interest. A
5 24 senator shall not be required to file a report or be
5 25 assumed to have a financial interest if the annual
5 26 income derived from the investment in stocks, bonds,
5 27 bills, notes, mortgages, or other securities offered
5 28 for sale through recognized financial brokers is less
5 29 than one thousand dollars.

5 30 Disclosures required under this rule shall be as of
6 1 the date filed unless provided to the contrary, and
6 2 shall be amended to include interests and changes
6 3 encompassed by this rule that occur while the general

6 4 assembly is in session. All filings under this rule
6 5 shall be open to public inspection in the office of
6 6 the secretary of the senate at all reasonable times.
6 7 The secretary of the senate shall inform the ethics
6 8 committee of the statements which are filed and shall
6 9 report to the ethics committee the names of any
6 10 senators who appear not to have filed complete
6 11 statements. The chairperson of the ethics committee
6 12 shall request in writing that a senator who has failed
6 13 to complete the report or appears to have filed an
6 14 incomplete report do so within five days, and, upon
6 15 the failure of the senator to comply, the ethics
6 16 committee shall require the senator to appear before
6 17 the committee.

6 18 12. STATUTORY VIOLATIONS. Members of the general
6 19 assembly are urged to familiarize themselves with
6 20 chapters 68B, 721, and 722.

6 21 13. CHARGE ACCOUNTS. Senators shall not charge
6 22 any amount or item to any charge account to be paid
6 23 for by any lobbyist or any client the lobbyist
6 24 represents.

6 25 14. TRAVEL EXPENSES. A senator shall not charge
6 26 to the state of Iowa amounts for travel and expenses
6 27 unless the senator actually has incurred those mileage
6 28 and expense costs. Senators shall not file the
6 29 vouchers for weekly mileage reimbursement required by
6 30 section 2.10, subsection 1, unless the travel was
7 1 actually incurred at commensurate expense to the
7 2 senator.

7 3 15. COMPLAINTS. Complaints or charges against any
7 4 senator or any lobbyist shall be in writing, made
7 5 under oath, and filed with the secretary of the senate
7 6 or the chairperson of the ethics committee. If filed
7 7 with the secretary of the senate, the secretary shall
7 8 immediately advise the chairperson of the ethics
7 9 committee of the receipt of the complaint.

7 10 Complaint forms shall be available from the
7 11 secretary of the senate, or the chairperson of the
7 12 ethics committee, but a complaint shall not be
7 13 rejected for failure to use an approved form if the
7 14 complaint substantially complies with senate
7 15 requirements.

7 16 A complainant may submit exhibits and affidavits
7 17 attached to the complaint.

7 18 16. FILING OF COMPLAINTS.

7 19 a. Persons entitled. Complaints may be filed by
7 20 any person believing that a senator or lobbyist has
7 21 violated the senate ethics code, the senate rules
7 22 governing lobbyists, or chapter 68B of the Iowa Code.
7 23 A violation of the criminal law may be considered to
7 24 be a violation of this code of ethics if the violation
7 25 constitutes a serious misdemeanor or greater, or a
7 26 repetitive and flagrant violation of the law.

7 27 b. Committee complaint. The ethics committee may,
7 28 upon its own motion, initiate a complaint,
7 29 investigation, or disciplinary action.

7 30 c. Timeliness of filing. A complaint will be
8 1 considered to be timely filed if it is filed within
8 2 three years of the occurrence of the alleged violation
8 3 of the ethics code.

8 4 17. PERMANENT RECORD. The secretary of the senate
8 5 shall maintain a permanent record of all complaints
8 6 filed, evidence received by the committee, and any
8 7 transcripts or other recordings made of committee
8 8 proceedings, including a separate card file containing
8 9 the date filed, name and address of the complainant,
8 10 name and address of the respondent, a brief statement
8 11 of the charges made, and ultimate disposition of the
8 12 complaint. The secretary shall keep each such
8 13 complaint confidential until public disclosure is made
8 14 by the ethics committee.

8 15 18. PREHEARING PROCEDURE.

8 16 a. Defective complaint. Upon receipt of a
8 17 complaint, the chairperson and ranking member of the
8 18 ethics committee shall determine whether the complaint
8 19 substantially complies with the requirements of this
8 20 code of ethics and section 68B.31, subsection 6. If
8 21 the complaint does not substantially comply with the
8 22 requirements for formal sufficiency under the code of
8 23 ethics, the complaint may be returned to the
8 24 complainant with a statement that the complaint is not

8 25 in compliance with the code and a copy of the code.
8 26 If the complainant fails to amend the complaint to
8 27 comply with the code within a reasonable time, the
8 28 chair and ranking member may dismiss the complaint
8 29 with prejudice for failure to prosecute.
8 30 b. Service of complaint on respondent. Upon
9 1 receipt of any complaint substantially complying with
9 2 the requirements of this code of ethics, the
9 3 chairperson of the ethics committee shall cause a copy
9 4 of the complaint and any supporting information to be
9 5 delivered promptly to the respondent, requesting a
9 6 written response to be filed within ten days. The
9 7 response may do any of the following:
9 8 (1) Admit or deny the allegation or allegations.
9 9 (2) Object that the allegation fails to allege a
9 10 violation of chapter 68B or the code of ethics.
9 11 (3) Object to the jurisdiction of the committee.
9 12 (4) Request a more specific statement of the
9 13 allegation or allegations.
9 14 c. Objection to member. In addition to the items
9 15 which may be included in a response pursuant to
9 16 paragraph "b", the response may also include an
9 17 objection to the participation of any member of the
9 18 committee in the consideration of the allegation or
9 19 allegations on the grounds that the member cannot
9 20 render an impartial and unbiased decision.
9 21 d. Extension of time. At the request of the
9 22 respondent and upon a showing of good cause, the
9 23 committee, or the chairperson and ranking member, may
9 24 extend the time for response, not to exceed ten
9 25 additional days.
9 26 e. Confidentiality. If a complaint is not
9 27 otherwise made public, the members of the committee
9 28 shall treat the complaint and all supporting
9 29 information as confidential until the written response
9 30 is received from the respondent.
10 1 f. Communications with ethics committee. After a
10 2 complaint has been filed or an investigation has been
10 3 initiated, a party to the complaint or investigation
10 4 shall not communicate, or cause another to
10 5 communicate, as to the merits of the complaint or
10 6 investigation with a member of the committee, except
10 7 under the following circumstances:
10 8 (1) During the course of any meetings or other
10 9 official proceedings of the committee regarding the
10 10 complaint or investigation.
10 11 (2) In writing, if a copy of the writing is
10 12 delivered to the adverse party or the designated
10 13 representative for the adverse party.
10 14 (3) Orally, if adequate prior notice of the
10 15 communication is given to the adverse party or the
10 16 designated representative for the adverse party.
10 17 (4) As otherwise authorized by statute, the senate
10 18 code of ethics, the senate rules governing lobbyists,
10 19 or vote of the committee.
10 20 g. Scheduling hearing. Upon receipt of the
10 21 response, the committee shall schedule a public
10 22 meeting to review the complaint and available
10 23 information, and shall:
10 24 (1) Notify the complainant that no further action
10 25 will be taken, unless further substantiating
10 26 information is produced, or
10 27 (2) Dismiss the complaint for failure to meet the
10 28 statutory and code of ethics requirements for valid
10 29 complaints, or
10 30 (3) Request that the chief justice of the supreme
11 1 court appoint an independent special counsel to
11 2 conduct an investigation of the complaint and
11 3 supporting information, to make a determination of
11 4 probable cause, and to report the findings to the
11 5 committee, which shall be received within a reasonable
11 6 time.
11 7 h. Public hearing. If independent special counsel
11 8 is appointed, upon receipt of the report of
11 9 independent special counsel's findings, the committee
11 10 shall schedule a public meeting to review the report
11 11 and shall do either of the following:
11 12 (1) Cause the complaint to be scheduled for a
11 13 public hearing.
11 14 (2) Dismiss the complaint based upon a
11 15 determination by independent special counsel and the

11 16 committee that insufficient evidence exists to support
11 17 a finding of probable cause.

11 18 19. HEARING PROCEDURE.

11 19 a. Notice of hearing. If the committee causes a
11 20 complaint to be scheduled for a public hearing, notice
11 21 of the hearing date and time shall be given to the
11 22 complainant and respondent in writing, and of the
11 23 respondent's right to appear in person, be represented
11 24 by legal counsel, present statements and evidence, and
11 25 examine and cross-examine witnesses. The committee
11 26 shall not be bound by formal rules of evidence, but
11 27 shall receive relevant evidence, subject to
11 28 limitations on repetitiveness. Any evidence taken
11 29 shall be under oath.

11 30 b. Subpoena power. The committee may require, by
12 1 subpoena or otherwise, the attendance and testimony of
12 2 witnesses and the production of such books, records,
12 3 correspondence, memoranda, papers, documents, and any
12 4 other things it deems necessary to the conduct of the
12 5 inquiry.

12 6 c. Ex post facto. An investigation shall not be
12 7 undertaken by the committee of a violation of a law,
12 8 rule, or standard of conduct that is not in effect at
12 9 the time of violation.

12 10 d. Disqualification of member. Members of the
12 11 committee may disqualify themselves from participating
12 12 in any investigation of the conduct of another person
12 13 upon submission of a written statement that the member
12 14 cannot render an impartial and unbiased decision in a
12 15 case. A member may also be disqualified by a
12 16 unanimous vote of the remaining eligible members of
12 17 the committee.

12 18 A member of the committee is ineligible to
12 19 participate in committee meetings, as a member of the
12 20 committee, in any proceeding relating to the member's
12 21 own official conduct.

12 22 If a member of the committee is disqualified or
12 23 ineligible to act, the majority or minority leader who
12 24 appointed the member shall appoint a replacement
12 25 member to serve as a member of the committee during
12 26 the period of disqualification or ineligibility.

12 27 e. Hearing. At the hearing, the chairperson shall
12 28 open the hearing by stating the charges, the purpose
12 29 of the hearing, and its scope. The burden of proof
12 30 rests upon the complainant to establish the facts as
13 1 alleged, by clear and convincing evidence. However,
13 2 questioning of witnesses shall be conducted by the
13 3 members of the committee, by independent special
13 4 counsel, or by a senator. The chairperson shall also
13 5 permit questioning by legal counsel representing the
13 6 complainant or respondent.

13 7 The chairperson or other member of the committee
13 8 presiding at a hearing shall rule upon procedural
13 9 questions or any question of admissibility of evidence
13 10 presented to the committee. Rulings may be reversed
13 11 by a majority vote of the committee members present.

13 12 The committee may continue the hearing to a future
13 13 date if necessary for appropriate reasons or purposes.

13 14 f. Committee action. Upon receipt of all relevant
13 15 evidence and arguments, the committee shall consider
13 16 the same and recommend to the senate:

13 17 (1) That the complaint be dismissed, or

13 18 (2) That the senator or lobbyist be censured or
13 19 reprimanded, and recommend the appropriate form of
13 20 censure or reprimand, or

13 21 (3) Any other appropriate sanction, including
13 22 suspension or expulsion from membership in the senate,
13 23 or suspension of lobbying privileges.

13 24 g. Disposition resolution. By appropriate
13 25 resolution, the senate may amend, adopt, or reject the
13 26 report of the ethics committee, including the
13 27 committee's recommendations regarding disciplinary
13 28 action.

13 29 20. COMMITTEE AUTHORIZED TO MEET. The senate
13 30 ethics committee is authorized to meet at the
14 1 discretion of the chairperson to conduct hearings and
14 2 other business that properly may come before it. If
14 3 the committee submits a report seeking senate action
14 4 against a senator or lobbyist after the second regular
14 5 session of a general assembly has adjourned sine die,
14 6 the report shall be submitted to and considered by the

14 7 subsequent general assembly. However, the report may
14 8 be submitted to and considered during any special
14 9 session which may take place after the second regular
14 10 session of a general assembly has adjourned sine die,
14 11 but before the convening of the next general assembly.

14 12 ~~20A-~~ 21. ADVISORY OPINIONS.

14 13 a. Requests for formal opinions. A request for a
14 14 formal advisory opinion may be filed by any person who
14 15 is subject to the authority of the ethics committee.
14 16 The ethics committee may also issue a formal advisory
14 17 opinion on its own motion, without having previously
14 18 received a formal request for an opinion, on any issue
14 19 that is within the jurisdiction of the committee.

14 20 Requests shall be filed with either the secretary of
14 21 the senate or the chairperson of the ethics committee.

14 22 b. Form and contents of requests. A request for a
14 23 formal advisory opinion shall be in writing and may
14 24 pertain to any subject matter that is related to the
14 25 application of the senate code of ethics, the senate
14 26 rules governing lobbyists, or chapter 68B of the Code
14 27 to any person who is subject to the authority of the
14 28 ethics committee. Requests shall contain one or more
14 29 specific questions and shall relate either to future
14 30 conduct or be stated in the hypothetical. A request
15 1 for an advisory opinion shall not specifically name
15 2 any individual or contain any other specific
15 3 identifying information, unless the request relates to
15 4 the requester's own conduct. However, any request may
15 5 contain information which identifies the kind of
15 6 individual who may be affected by the subject matter
15 7 of the request. Examples of this latter kind of
15 8 identifying information may include references to
15 9 conduct of a category of individuals, such as but not
15 10 limited to conduct of legislators, legislative staff,
15 11 or lobbyists.

15 12 c. Confidentiality of formal requests and
15 13 opinions. Requests for formal opinions are not
15 14 confidential and any deliberations of the committee
15 15 regarding a request for a formal opinion shall be
15 16 public. Opinions issued in response to requests for
15 17 formal opinions are not confidential, shall be in
15 18 writing, and shall be placed on file in the office of
15 19 the secretary of the senate. Persons requesting
15 20 formal opinions shall personally receive a copy of the
15 21 written formal opinion that is issued in response to
15 22 the request.

15 23 ~~20B-~~ 22. CALCULATION OF TIME == DAYS. For
15 24 purposes of these rules, unless the context otherwise
15 25 requires, the word "day" or "days" shall mean a
15 26 calendar day except that if the day is the last day of
15 27 a specific time period and falls upon a Saturday,
15 28 Sunday, or legal holiday, the time prescribed shall be
15 29 extended so as to include the whole of the next day in
15 30 which the offices of the senate and the general
16 1 assembly are open for official business.

16 2 ~~21-~~ 23. COMPLAINT FILING FORM. The following
16 3 form shall be used to file a complaint under these
16 4 rules:

16 5 THE SENATE
16 6 Ethics Complaint Form
16 7 Re: _____ (Senator/Lobbyist),
16 8 of _____, Iowa.
16 9 I, _____ (Complainant), residing
16 10 at _____, in the City of _____,
16 11 State of _____, hereby complain that
16 12 _____ (Senator/Lobbyist), whose
16 13 address is _____,
16 14 has violated the Senate Code of Ethics or Senate
16 15 Rules Governing Lobbyists in that:
16 16 (Explain the basis for the complaint here. Use addi-
16 17 tional pages, if necessary.)
16 18 Under penalty of perjury, I certify that the above
16 19 complaint is true and correct as I verily believe.

16 20
16 21 _____
16 22 Signature of Complainant
16 23 SUBSCRIBED AND AFFIRMED to before me this _____
16 24 day of _____, _____.

16 25 _____
16 26 Notary Public in and for the
16 27 State of _____

16 27 ~~22-~~ 24. COMPLAINT NOTICE FORM. The following

16 28 form shall be used for notice of a complaint under
16 29 these rules:

16 30 STATE OF IOWA
17 1 THE SENATE
17 2 COMMITTEE ON ETHICS)
17 3 IOWA STATE SENATE)
17 4)
17 5 On The Complaint Of) NOTICE OF COMPLAINT
17 6)
17 7 _____)
17 8)
17 9 And Involving)
17 10)
17 11 _____)
17 12)

17 13 TO _____,
17 14 Senator or Lobbyist named above:
17 15 You are hereby notified that there is now on file
17 16 with the Secretary of the Senate, State Capitol, Des
17 17 Moines, Iowa, a complaint which alleges that you have
17 18 committed a violation of the Senate's Code of Ethics
17 19 or Senate Rules Governing Lobbyists.
17 20 A copy of the complaint and the Senate rules for
17 21 processing the same are attached hereto and made a
17 22 part of this notice.
17 23 You are further notified and requested to file your
17 24 written answer to the complaint within ten days of the
17 25 date upon which the notice was caused to be delivered
17 26 to you, (date) _____, _____. Your
17 27 answer is to be filed with the Secretary of the Senate,
17 28 State Capitol, Des Moines, Iowa.
17 29 Dated this _____ day of _____, _____.

17 30
18 1 Chair, Senate Ethics Committee,
18 2 or Secretary of the Senate
18 3 ~~23.~~ 25. HEARING NOTICE FORM. The following form
18 4 shall be used for notice of a hearing under these
18 5 rules:

18 6 STATE OF IOWA
18 7 THE SENATE
18 8 COMMITTEE ON ETHICS)
18 9 IOWA STATE SENATE)
18 10)
18 11 On The Complaint Of) NOTICE OF HEARING
18 12)
18 13 _____)
18 14)
18 15 And Involving)
18 16)
18 17 _____)
18 18)

18 19 TO _____,
18 20 Senator or Lobbyist named above:
18 21 You are hereby notified that there is now on file
18 22 with the Secretary of the Senate, State Capitol, Des
18 23 Moines, Iowa, a complaint which alleges that you have
18 24 committed a violation of the Senate's Code of Ethics
18 25 or Senate Rules Governing Lobbyists.
18 26 A copy of the complaint and the Senate rules for
18 27 processing the same are attached hereto and made a
18 28 part of this notice.
18 29 You are further notified that, after preliminary
18 30 review, the committee has caused a public hearing to
19 1 be scheduled on (date) _____,
19 2 _____, at (hour) _____ (a.m.) (p.m.),
19 3 in Room _____, State Capitol, Des Moines, Iowa.
19 4 At the hearing, you will have the right to appear
19 5 in person, be represented by legal counsel at your own
19 6 expense, present statements and evidence, and examine
19 7 and cross-examine witnesses. The committee shall not
19 8 be bound by formal rules of evidence, but shall
19 9 receive relevant evidence, subject to limitations on
19 10 repetitiveness. Any evidence taken shall be under
19 11 oath.
19 12 The committee may continue the hearing to a future
19 13 date if necessary for appropriate reasons or purposes.
19 14 You are further notified that the committee will
19 15 receive such evidence and take such action as
19 16 warranted by the evidence.
19 17 Dated this _____ day of _____, _____.

19 18

19 19 Chair, Senate Ethics Committee,
 19 20 or Secretary of the Senate
 19 21 ~~24.~~ 26. PERSONAL FINANCIAL DISCLOSURE FORM. The
 19 22 following form shall be used for disclosure of
 19 23 economic interests under these rules and section
 19 24 68B.35:
 19 25 STATEMENT OF ECONOMIC INTERESTS
 19 26 Name: _____
 19 27 (Last) (First) (Middle Initial)
 19 28 Address: _____
 19 29 (Street Address, Apt.# == P.O. Box)
 19 30 _____
 20 1 (City) (State) (Zip)
 20 2 Phone:(Home) ____=____=____ (Business) ____=____=____
 20 3 *****
 20 4 a. Please list each business, occupation, or
 20 5 profession in which you are engaged. In listing the
 20 6 business, occupation, or profession, it is not
 20 7 necessary that your employer or the name of the
 20 8 business be listed, although all businesses,
 20 9 occupations, or professions must be listed, regardless
 20 10 of the amount of income derived or time spent
 20 11 participating in the activity. (Examples of types of
 20 12 businesses, occupations, or professions that may be
 20 13 listed: teacher, lawyer, legislator, real estate
 20 14 agent, insurance adjuster, salesperson....)
 20 15 (1) _____
 20 16 (2) _____
 20 17 (3) _____
 20 18 (4) _____
 20 19 (5) _____
 20 20 b. Please list the nature of each of the
 20 21 businesses, occupations, or professions which you
 20 22 listed in paragraph "a", above, unless the nature of
 20 23 the business, occupation, or profession is already
 20 24 apparent from the information indicated above. The
 20 25 descriptions in this paragraph should correspond by
 20 26 number to the numbers for each of the businesses,
 20 27 occupations, or professions listed in paragraph "a".
 20 28 (Examples: If you indicated, for example, that you
 20 29 were a salesperson in subparagraph (1) of paragraph
 20 30 "a", you should list in subparagraph (1) of this
 21 1 paragraph the types of goods or services sold in this
 21 2 item. If you indicated that you were a teacher in
 21 3 subparagraph (2) of paragraph "a", you should indicate
 21 4 in subparagraph (2) of this paragraph the type of
 21 5 school or institution in which you provide instruction
 21 6 or whether the instruction is provided on a private
 21 7 basis. If you indicated that you were a lawyer in
 21 8 subparagraph (3) of paragraph "a", you should indicate
 21 9 your areas of practice and whether you are in private,
 21 10 corporate, or government practice in subparagraph (3)
 21 11 of this paragraph. If you indicated in subparagraph
 21 12 (4) of paragraph "a" that you were a consultant, in
 21 13 subparagraph (4) of this paragraph you should indicate
 21 14 the kind of services provided and types of clients
 21 15 served.)
 21 16 (1) _____
 21 17 (2) _____
 21 18 (3) _____
 21 19 (4) _____
 21 20 (5) _____
 21 21 c. Please list each source, by general
 21 22 description, from which you receive, or which
 21 23 generates, more than one thousand dollars in gross
 21 24 annual income in the categories listed below. For
 21 25 purposes of this item, a source produces gross annual
 21 26 income if the revenue produced by the source is
 21 27 subject to federal or state income taxes. In
 21 28 completing this item, it is not necessary to list the
 21 29 name of the company, business, financial institution,
 21 30 corporation, partnership, or other entity which
 22 1 constitutes the source of the income and the amount or
 22 2 value of the holding should not be listed.
 22 3 (1) Securities (Here for example, you need not
 22 4 state that you own X number of shares of any specific
 22 5 company by brand or corporate name, or that the stock
 22 6 is of a certain value, but may instead state that you
 22 7 possess stock in a company and indicate the nature of
 22 8 the company's business.):
 22 9

22 10 _____
22 11 _____
22 12 _____
22 13 _____
22 14 (2) Instruments of Financial Institutions (You
22 15 need not indicate, for example, in which institutions
22 16 you hold certificates of deposit that produce annual
22 17 income over the one thousand dollar threshold, but
22 18 simply listing the nature of the institution will
22 19 suffice, e.g., bank, credit union, or savings and loan
22 20 association.):
22 21 _____
22 22 _____
22 23 _____
22 24 _____
22 25 _____
22 26 (3) Trusts (The name of the particular trust need
22 27 not be listed. However, if the income is received
22 28 from a charitable trust/foundation, such as the Pugh
22 29 Charitable Trust, in the form of a grant, the fact
22 30 that the trust is a charitable trust should be noted
23 1 here.):
23 2 _____
23 3 _____
23 4 _____
23 5 _____
23 6 _____
23 7 (4) Real Estate (When listing real estate, it is
23 8 not necessary to list the location of the property,
23 9 but the general nature of the real estate interest
23 10 should be indicated, e.g., residential leasehold
23 11 interest or farm leasehold interest.):
23 12 _____
23 13 _____
23 14 _____
23 15 _____
23 16 _____
23 17 (5) Retirement Systems (When listing retirement
23 18 benefits, it is not necessary to list the name of the
23 19 particular pension system or company, but rather the
23 20 type of benefit should be listed, e.g., health
23 21 benefits, life insurance benefits, private pension, or
23 22 government pension.):
23 23 _____
23 24 _____
23 25 _____
23 26 _____
23 27 _____
23 28 (6) Other Income Categories Specified in State or
23 29 Federal Income Tax Regulations (List description of
23 30 other sources of income producing over one thousand
24 1 dollars in annual income not previously reported
24 2 above, but which must be reported for income tax
24 3 purposes.):
24 4 _____
24 5 _____
24 6 _____
24 7 _____
24 8 _____
24 9 _____
24 10 _____
24 11 (Signature of filer) _____ (Date) _____
24 12 LSB 1533SV 83
24 13 tm/rj/14